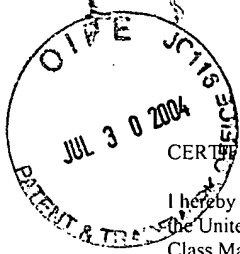


JFW



CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on January 28, 2004.

*John S. Nagy*  
John S. Nagy, Reg. No. 30,664

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/693,577  
Applicant : Lilip Lau, William M. Hartigan  
Filed : October 23, 2003  
Art Unit : Unassigned  
Examiner : Unassigned  
Title : EXPANDABLE CARDIAC HARNESS FOR TREATING  
HEART FAILURE

Docket No.: : PARCR 65971  
Customer No. : 24201

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Dear Sir:

The documents listed on the enclosed Forms PTO/SB/08A have come to the attention of Applicants and are submitted to the Office under 37 C.F.R. § 1.97(c) (3) and § 1.98(d). Enclosed is a copy of two Information Disclosure Statements (each with Form PTO/SB/08A) and a Notice of References Cited (Form PTO-892) as filed in the parent application, U.S. Serial No. 09/952,116 now U.S. Patent No. 6,663,558. It is believed that these references will be helpful during examination of the application.


This application is a continuation of U.S. Serial No. 09/952,116 which issued as U.S. Patent No. 6,663,558 on December 16, 2003, which is a continuation of U.S. Serial No. 09/634,043 filed August 8, 2001. A copy of the documents listed on the

Information Disclosure Statement by Applicant, Forms PTO/SB/08A can be found in U.S. Serial No. 09/634,043.

Applicants believe that this Information Disclosure Statement has been filed before the mailing date of a first Office action on the merits in accordance with 37 C.F.R. § 1.97(b)(3) and therefore, no fee is due. However, if a fee is in fact due the Commissioner is authorized to charge our Deposit Account No. 06-2425. A duplicate of this paper is enclosed.

Respectfully submitted,

FULWIDER PATTON LEE & UTECHT, LLP

By:   
John S. Nagy  
Registration No. 30,664

JSN:jeb

Howard Hughes Center  
6060 Center Drive, Tenth Floor  
Los Angeles, CA 90045  
Telephone: (310) 824-5555  
Facsimile: (310) 824-9696  
Customer No. 24201

39330.1



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/693,577	
	Filing Date	October 23, 2003	
	First Named Inventor	Lilip Lau	
	Art Unit	Unassigned	
	Examiner Name	Unassigned	
Total Number of Pages in This Submission		Attorney Docket Number	PARCR 65971

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	<b>Postcard</b> <b>96 References</b>
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	FULWIDER PATTON LEE & UTECHT, LLP
Signature	<i>John Nagy</i>
Date	January 28, 2004

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on			
Typed or printed name	JOHN S. NAGY		
Signature	<i>John Nagy</i>	Date	January 28, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Lau, et al. ) Group Art Unit Unknown  
App. No. : Unknown )  
Filed : Herewith )  
For : EXPANDABLE CARDIAC )  
HARNESS FOR TREATING )  
CONGESTIVE HEART )  
FAILURE )  
Examiner : Unknown )

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Enclosed is form PTO-1449 listing seventy-two references, none of which are enclosed. This Information Disclosure Statement is being filed within three months of the filing date of this application and no fee is required in accordance with 37 C.F.R. § 1.97(b)(1).

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 9/10/01

By: 

Glen L. Nuttall

Registration No. 46,188

Attorney of Record

620 Newport Center Drive, Sixteenth Floor

Newport Beach, CA 92660

(949) 760-0404

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  <b>INFORMATION DISCLOSURE STATEMENT          BY APPLICANT</b>  (USE SEVERAL SHEETS IF NECESSARY)	ATTY. DOCKET NO. PARA.002C3	APPLICATION NO. Unknown
	APPLICANT Lilip Lau, et al.	
	FILING DATE Herewith	GROUP ART UNIT Unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
<i>sp</i>	1.	4,536,893	08-27-1985	Parravicini			
	2.	4,936,857	06-26-1990	Kulik			
	3.	4,957,477	09-18-1990	Lundbäck			
	4.	5,131,905	07-21-1992	Grooters			
	5.	5,256,132	10-26-1993	Snyders			
	6.	5,558,617	09-24-1996	Heilman, et al.			
	7.	5,582,616	12-10-1996	Bolduc, et al.			
	8.	5,702,343	12-30-1997	Alfermess			
	9.	5,713,954	02-03-1998	Roenberg, et al.			
	10.	5,749,839	05-12-1998	Kovacs			
	11.	5,800,528	09-01-1998	Lederman, et al.			
	12.	5,848,962	12-15-1998	Feindt, et al.			
	13.	5,910,124	06-08-1999	Rubin			
	14.	5,957,977	09-28-1999	Melvin			
	15.	5,961,440	10-05-1999	Schweich, Jr., et al.			
	16.	5,976,069	11-02-1999	Navia, et al.			
	17.	6,024,096	02-15-2000	Buckberg			
	18.	6,045,497	04-04-2000	Schweich, Jr., et al.			
	19.	6,050,936	04-18-2000	Schweich, Jr., et al.			
	20.	6,059,715	05-09-2000	Schweich, J., et al.			
	21.	6,077,214	06-20-2000	Mortier, et al.			
	22.	6,077,218	06-20-2000	Alfermess			
	23.	6,085,754	07-11-2000	Alfermess, et al.			
	24.	6,123,662	09-26-2000	Alfermess, et al.			
	25.	6,126,590	10/03/2000	Alfermess			
<i>so</i>	26.	6,183,411 B1	02/06/2001	Mortier, et al.			

EXAMINER <i>Gilbert</i>	DATE CONSIDERED <i>9/29/02</i>
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  <b>INFORMATION DISCLOSURE STATEMENT          BY APPLICANT</b>  (USE SEVERAL SHEETS IF NECESSARY)	ATTY. DOCKET NO. PARA.002C3	APPLICATION NO. Unknown
	APPLICANT Lilip Lau, et al.	
	FILING DATE Herewith	GROUP ART UNIT Unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
<i>ls</i>	27.	6,076,013	06/13/2000	Brennan, et al.			
	28.	6,125,852	10/03/2000	Stevens, et al.			
	29.	6,155,972	12/05/2000	Nauertz, et al.			
	30.	6,162,168	12/19/2000	Schweich, Jr., et al.			
	31.	6,165,119	12/26/2000	Schweich, Jr., et al.			
	32.	6,165,120	12/26/2000	Schweich, Jr., et al.			
	33.	6,165,121	12/26/2000	Alfemess			
	34.	6,165,122	12/26/2000	Alfemess			
	35.	US 6,169,922 B1	01/02/2001	Alfemess, et al.			
	36.	US 6,174,279 B1	01/16/2001	Girard			
	37.	US 6,179,791 B1	01/30/2001	Krueger			
	38.	US 6,190,408 B1	02/20/2001	Melvin			
	39.	US 6,193,648 B1	02/27/2001	Krueger			
	40.	US 6,221,103 B1	04/24/2001	Melvin			
	41.	US 6,224,540 B1	05/01/2001	Lederman, et al.			
	42.	US 6,230,714 B1	05/15/2001	Alfemess, et al.			
	43.	US 6,260,552 B1	07/17/2001	Mortier, et al.			
	44.	US 6,261,222 B1	07/17/2001	Schweich, Jr., et al.			
<i>ls</i>	45.	US 6,264,602 B1	07/24/2001	Mortier, et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
<i>ls</i>	46.	FR 2,527,435	02-02-1983	France				
	47.	WO 98/03213	01-28-1999	PCT				
	48.	WO 98/58538	12-30-1998	Germany				
	49.	WO 99/30647	06-24-1999	PCT				
<i>ls</i>	50.	WO 00/02500	01-20-2000	PCT				

EXAMINER

*Gilbert*

DATE CONSIDERED

*9/29/02*

\*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. PARA.002C3	APPLICATION NO. Unknown
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Lilip Lau, et al.	
		FILING DATE Herewith	GROUP ART UNIT Unknown

FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
<i>LS</i>	51.	WO 00/06026	02-10-2000	PCT	1			
	52.	WO 00/06027	02-10-2000	PCT				
	53.	WO 00/06028	02-10-2000	PCT				
	54.	WO 00/16700	03-30-2000	PCT				
	55.	WO 99/53977	10-28-1999	PCT				
<i>LS</i>	56.	WO 01/50981 A1	07/19/2001	WIPO				

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
<i>LS</i>	57.	Alain Carpentier, M.D., Ph.D., et al, <i>Dynamic Cardiomyoplasty at Seven Years</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Volume 106, Number 1, 12/1997.
	58.	Eli R. Capouya, M.D., et al., <i>Girdling Effect of Nonstimulated Cardiomyoplasty on left Ventricular Function</i> , <u>The Society of Thoracic Surgeons</u> , 1993;56:867-71. <i>12/1997</i>
	59.	O. H. Frazier, M.D. and Timothy J. Myers, BS, <i>Left Ventricular Assist System as a Bridge to Myocardial Recovery</i> , <u>The Society of Thoracic Surgeons</u> , 68: 734-41. <i>12/1999</i>
	60.	Joong Hwan Oh, M.D., et al, <i>Mechanisms of Dynamic Cardiomyoplasty: Current Concepts</i> , <u>J. Card Surg</u> , 1996: 11:194-199. <i>12/1996</i>
	61.	Howard R. Levin, M.D., et al., <i>Reversal of Chronic Ventricular Dilation in Patients With End-Stage Cardiomyopathy by Prolonged Mechanical Unloading</i> , <u>Circulation</u> , Volume 91, No. 11, June 1995.
	62.	David A. Kass, M.D., et al., <i>Reverse Remodeling From Cardiomyoplasty in Human Heart Failure</i> , <u>Circulation</u> , Volume 91, No. 9, May 1, 1995.
	63.	Vinay Badhwar, et al., <i>Power Generation From Four Skeletal Muscle Configurations, Design Implications for a Muscle Powered Cardiac Assist Device</i> , <u>ASAIO Journal</u> , 1997, 43: M651-M657. <i>12/1997</i>
	64.	Ray C.-J. Chiu, <i>Using Skeletal Muscle for Cardiac Assistance</i> , <u>Scientific American</u> , November/December 1994.
	65.	CARDIAC BINDING IN EXPERIMENTAL HEART FAILURE, Mikhail Vaynblat, MD, et al., 1997 by <u>The Society of Thoracic Surgeons</u> , Pages 81-85. <i>12/1997</i>
	66.	THE EFFECTS OF PROSTHETIC CARDIAC BINDING AND ADYNAMIC CARDIOMYOPLASTY IN A MODEL OF DILATED CARDIOMYOPATHY, Joong Hwan Oh, MD, et al., <u>The Journal of Thoracic Cardiovascular Surgery</u> Volume 116, Number 1, Pages 148-153. <i>12/1998</i>
	67.	PASSIVE VENTRICULAR CONSTRAINT AMENDS THE COURSE OF HEART FAILURE: A STUDY IN AN OVINE MODEL OF DILATED CARDIOMYOPATHY, J.M. Power, et al., <u>Cardiovascular Research</u> 44 (1999) 549-555. <i>12/1999</i>
	68.	GIRDLING EFFECT ON NONSTIMULATED CARDIOMYOPLASTY ON LEFT VENTRICULAR FUNCTION, Eli R. Capouya, M.D., et al, 1993 by <u>The Society of Thoracic Surgeons</u> , Pages 867-871. <i>12/1993</i>
	69.	PASSIVE EPICARDIAL CONTAINMENT PREVENTS VENTRICULAR REMODELING IN HEART FAILURE, Pervaiz A. Chaudry, M.D., et al, 2000 by <u>The Society of Thoracic Surgeons</u> , Pages 1275-1280.
	70.	PASSIVE VENTRICULAR CONSTRAINT FOR THE TREATMENT OF CONGESTIVE HEART FAILURE, Mehmet C. Oz, MD, 2001 by <u>The Society of Thoracic Surgeons</u> , Pages S185-187. <i>12/2000</i>
	71.	VENTRICULAR CONTAINMENT AS AN ADJUNCTIVE PROCEDURE IN ISCHEMIC CARDIOMYOPATHY: EARLY RESULTS, Jai S. Raman, et al., <u>Ann (Thorac Surg)</u> 2000;70:1124-6. <i>12/2000</i>
<i>LS</i>	72.	CARDIOTHORACIC SURGERY, <u>SURGICAL FORUM</u> , Pages 146-148 <i>12/1996</i>

H:\DOCS\GLN\GLN-4103.DOC.ca\090501

EXAMINER <i>Gilbert</i>	DATE CONSIDERED <i>9/29/02</i>
*EXAMINER: INITIAL IF CITATION CONSIDERED. WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	

**Notice of References Cited**

Application/Control No.

09/952,116

Applicant(s)/Patent Under  
Reexamination  
LAU ET AL.

Examiner

Samuel G Gilbert

Art Unit

3736

Page 1 of 1

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
✓	✓	A US-6,360,749 ✓	03-2002	Jayaraman, Swaminathan	128/898
		B US-			
		C US-			
		D US-			
		E US-			
		F US-			
		G US-			
		H US-			
		I US-			
		J US-			
		K US-			
		L US-			
		M US-			

**FOREIGN PATENT DOCUMENTS**

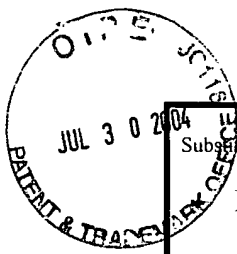
*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
		N				
		O				
		P				
		Q				
		R				
		S				
		T				

**NON-PATENT DOCUMENTS**

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.





Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO		<b>Complete if Known</b>	
		Application Number	10/693,577
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Filing Date	October 23, 2003
		First Named Inventor	Lilip Lau
		Art Unit	3736
		Examiner Name	Unassigned
(use as many sheets as necessary)		Attorney Docket Number	PARCR 65971
Sheet	1	of	12

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		2,826,193		03/11/58	Vineberg	
		3,464,322		09/02/69	Pequignot	
		3,513,836		05/26/70	Sausse	
		3,587,567		06/28/71	Schiff	
		3,613,672		10/19/71	Schiff	
		3,966,401		06/29/76	Hancock et al.	
		3,983,863		10/05/76	Janke et al.	
		3,988,782		11/02/76	Dardik et al.	
		4,011,947		03/15/77	Sawyer	
		4,048,990		09/20/77	Goetz	
		4,065,816		01/03/78	Sawyer	
		4,108,161		08/22/78	Samuels et al.	
		4,192,293		03/11/80	Asrican	
		4,211,325		07/08/80	Wright	
		4,261,342		04/14/81	Aranguren Duo	
		4,306,318		12/22/81	Mano et al.	
		4,372,293		02/08/83	Vijil-Rosales	
		4,403,604		09/13/83	Wilkinson et al.	
		4,428,375		01/31/84	Ellman	
		4,512,471		04/23/85	Kaster et al.	
		4,545,783		10/08/85	Vaughn	
		4,628,937		12/16/86	Hess et al.	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				
		PCT	WO 91/19465		12/26/91	Frater		
		SU	1734767 A1		05/23/92	Popov et al.		
		EP	0 280 564 B1		06/16/93	Intermedics, Inc.		
		DE	38 31 540 C2		06/24/93	Evans		
		PCT	WO 95/06447		03/09/95	W.L. Gore & Associates		
		PCT	WO 96/04852		02/22/96	Northrup		
		DE	295 17 393 U1		03/14/96	Hohmann et al.		
		EP	0 583 012 B1		07/10/96	Heilman et al.		
		PCT	WO 96/40356		12/19/96	EP Technologies, Inc.		
		PCT	WO 97/20505		06/12/97	Loma Linda University		
		JP	60-203250		1014/85	Unknown		

Examiner Signature	Date Considered
-----------------------	--------------------

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>			
Sheet		2		of		12	
Application Number		10/693,577					
Filing Date		October 23, 2003					
First Named Inventor		Lilip Lau					
Art Unit		3736					
Examiner Name		Unassigned					
Attorney Docket Number		PARCR 65971					

U.S. PATENT DOCUMENTS							
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		Number	Kind Code <sup>2</sup> (if known)				
		4,630,597		12/23/86	Kantrowitz et al.		
		4,665,906		05/19/87	Jervis		
		4,690,134		09/01/87	Snyders		
		4,697,703		10/06/87	Will		
		4,750,619		06/14/88	Cohen et al.		
		4,821,723		04/18/89	Baker, Jr. et al.		
		4,827,932		05/09/89	Ideker et al.		
		4,834,707		05/30/89	Evans		
		4,838,288		06/13/89	Wright et al.		
		4,840,626		06/20/89	Linsky et al.		
		4,863,016		09/05/89	Fong et al.		
		4,878,890		11/07/89	Bilweis		
		4,960,424		10/02/90	Grooters		
		4,973,300		11/27/90	Wright		
		4,976,730		12/11/90	Kwan-Gett		
		5,031,762		07/16/91	Heacox		
		5,057,117		10/15/91	Atweh		
		5,067,957		11/26/91	Jervis		
		5,087,243		02/11/92	Avitall		
		5,098,369		03/24/92	Heilman et al.		

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				
		SU	1009457A		04/07/83	Kulik		
		GB	2 115 287 A		09/07/83	Sharma		
		PCT	WO 97/24101		07/10/97	Melvin		
		EP	0 791 330 A3		08/27/97	Cardiothoracic Systems		
		PCT	WO 98/14136		04/09/98	Acorn Medical, Inc.		
		PCT	WO 98/26738		06/25/98	Hearten Medical, Inc.		
		PCT	WO 98/29041		07/09/98	Myocor, Inc.		
		PCT	WO 98/58598		12/30/98	Haindl		
		PCT	WO 99/11201		03/11/99	Endocore, Inc.		
		EP	0 919 193 A1		06/02/99	Ethicon Endo-Surgery		
		PCT	WO 99/44534		09/10/99	Melvin		
		JP	1-271829		10/30/89	Kogyo		
		EPO	0 370 931 A1		05/30/90	Perrotin		

Examiner Signature	Date Considered
-----------------------	--------------------

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/693,577
				Filing Date	October 23, 2003
				First Named Inventor	Lilip Lau
				Art Unit	3736
				Examiner Name	Unassigned
Sheet	3	of	12	Attorney Docket Number	PARCR 65971

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		5,106,386		04/21/92	Isner et al.	
		5,119,804		06/09/92	Anstadt	
		5,150,706		09/29/92	Cox et al.	
		5,169,381		12/08/92	Snyders	
		5,186,711		02/16/93	Epstein	
		5,190,546		03/02/93	Jervis	
		5,192,314		03/09/93	Daskalakis	
		5,197,978		03/30/93	Hess	
		5,279,539		01/18/94	Bohan et al.	
		5,290,217		03/01/94	Campos	
		5,336,254		08/09/94	Brennen et al.	
		5,344,442		09/06/94	Deac	
		5,352,184		10/04/94	Goldberg et al.	
		5,356,432		10/18/94	Rutkow et al.	
		5,366,460		11/22/94	Eberbach	
		5,383,840		01/24/95	Heilman et al.	
		5,385,156		01/31/95	Oliva	
		5,385,229		01/31/95	Bittmann et al.	
		5,385,528		01/31/95	Wilk	
		5,405,360		04/11/95	Tovey	
		5,429,584		07/04/95	Chiu	
		5,460,962		10/24/95	Kemp	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				
		PCT	WO 99/56655		11/11/99	Correstore, Inc.		
		PCT	WO 00/13722		03/16/00	SciMed Life Systems		
		PCT	WO 00/18320		04/06/00	Univ. of Cincinnati		
		PCT	WO 00/28912		05/25/00	Acorn Cardiovascular		
		PCT	WO 00/28918		05/25/00	Acorn Cardiovascular		
		PCT	WO 00/42919		07/25/00	Buckberg et al.		
		PCT	WO 00/45735		08/10/00	Acorn Cardiovascular		
		PCT	WO 00/48795		08/24/00	Richebourg		
		PCT	WO 00/62727		10/26/00	Hearten Medical		
		PCT	WO 00/74769		12/14/00	Johns Hopkins Univ.		

Examiner Signature	Date Considered
-----------------------	--------------------

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	10/693,577
				Filing Date	October 23, 2003
				First Named Inventor	Lilip Lau
				Art Unit	3736
				Examiner Name	Unassigned
(use as many sheets as necessary)				Attorney Docket Number	PARCR 65971
Sheet	4	of	12		

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		5,433,727		07/18/05	Sideris	
		5,456,711		07/18/95	Hudson	
		5,500,015		03/19/96	Deac	
		5,507,779		04/16/96	Altman	
		5,509,428		04/23/96	Dunlop	
		5,524,633		06/11/96	Heaven et al.	
		5,533,958		07/09/96	Wilk	
		5,534,024		07/09/96	Rogers et al.	
		5,545,210		08/13/96	Hess et al.	
		5,571,215		11/05/96	Sterman et al.	
		5,584,803		12/17/96	Stevens et al.	
		5,593,424		01/14/97	Northrup III	
		5,593,441		01/14/97	Lichtenstein et al.	
		5,597,378		01/28/97	Jervis	
		5,603,337		02/18/97	Jarvik	
		5,607,477		03/04/97	Schindler et al.	
		5,647,372		07/15/97	Tovey et al.	
		5,647,380		07/15/97	Campbell et al.	
		5,695,525		12/09/97	Mulhauser et al.	
		5,727,569		03/17/98	Benetti et al.	
		5,782,746		07/21/98	Wright	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				
		PCT	WO 01/17437		03/15/01	Cardiothoracic Systems		
		PCT	WO 01/21098		03/29/01	Acorn Cardiovascular		
		PCT	WO 01/67985		09/20/01	Paracor Surgical		
		PCT	WO 01/85061		11/15/01	Acorn Cardiovascular		
		PCT	WO 01/91667		12/06/01	Cardioclasp, Inc.		
		PCT	WO 01/95830		12/20/01	Acorn Cardiovascular		
		PCT	WO 01/95831		12/20/01	Acorn Cardiovascular		
		PCT	WO 01/95832		12/20/01	Acorn Cardiovascular		
		PCT	WO 02/13726		02/21/02	Acorn Cardiovascular		
		PCT	WO 02/19917		03/14/02	Converge Medical		

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>		
				Application Number	10/693,577	
Sheet		5	of	12	Filing Date	October 23, 2003
					First Named Inventor	Lilip Lau
					Art Unit	3736
					Examiner Name	Unassigned
					Attorney Docket Number	PARCR 65971

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		5,800,334		09/01/98	Wilk	
		5,814,097		09/29/98	Sterman et al.	
		5,824,028		10/20/98	Knisley	
		5,836,311		11/17/98	Borst et al.	
		5,849,005		12/15/98	Garrison et al.	
		5,853,422		12/29/98	Huebsch et al.	
		5,865,791		02/02/99	Whayne et al.	
		5,904,690		05/18/99	Middleman et al.	
		5,927,284		07/27/99	Borst et al.	
		5,948,019		09/07/99	Shu et al.	
		5,979,456		11/09/99	Magovern	
		5,984,857		11/16/99	Buck et al.	
		5,990,378		11/23/99	Ellis	
		6,007,486		12/28/99	Hunt et al.	
		6,015,378		01/18/00	Borst et al.	
		6,071,303		06/06/00	Laufer	
		6,095,968		08/01/00	Snyders	
		6,110,100		08/29/00	Talpade	
		6,117,159		09/12/00	Huebsch et al.	
		6,117,979		09/12/00	Hendriks et al.	
		6,155,968		12/05/00	Wilk	
		6,155,972		12/05/00	Nauertz et al.	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>2</sup> (if known)				
		PCT	WO 03/026483		04/03/03	The Foundry, Inc.		
		PCT	WO 03/026485		04/03/03	The Foundry, Inc.		
		PCT	WO 03/026484		04/03/03	The Foundry, Inc.		
		GB	2 209 678 A		05/24/89	Evans		
		DE	3831 540 A1		04/06/89	Evans		
		JP	1-145066		06/07/89	Unknown		

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>		
				Application Number	10/693,577	
Sheet		6	of	12	Filing Date	October 23, 2003
					First Named Inventor	Lilip Lau
					Art Unit	3736
					Examiner Name	Unassigned
					Attorney Docket Number	PARCR 65971

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		6,166,184		12/26/00	Hendriks et al.	
		6,206,820		03/27/01	Kazi et al.	
		6,214,047		02/10/01	Melvin	
		6,287,250		09/11/01	Peng et al.	
		6,293,906		09/25/01	Vanden Hoek et al.	
		6,306,141		10/23/01	Jervis	
		6,360,749		03/26/02	Jayaraman	
		6,375,608		04/23/02	Alfermess	
		6,390,976		05/21/02	Spence et al.	
		6,402,679		06/11/02	Mortier et al.	
		6,402,680		06/11/02	Mortier et al.	
		6,406,420		06/18/02	McCarthy et al.	
		6,409,760		06/25/02	Melvin	
		6,416,459		07/09/02	Haindl	
		6,425,856		07/30/02	Shapland et al.	
		6,432,039		08/13/02	Wardle	
		6,451,025		09/17/02	Jervis	
		6,482,146		11/19/02	Alfermess et al.	
		6,537,203		03/25/03	Alfermess et al.	
		6,544,168		04/08/03	Alfermess	
		6,547,821		11/11/03	Taylor et al.	
		6,564,094		05/13/03	Alfermess et al.	
		6,567,699		05/20/03	Alfermess et al.	
		6,569,082		05/27/03	Chin	
		6,572,533		06/03/03	Shapland et al.	
		6,575,921		06/10/03	Vanden Hoek et al.	
		6,582,355		06/24/03	Alfermess et al.	
		6,587,734		07/01/03	Okuzumi	
		6,595,912		07/22/03	Lau et al.	
		6,602,184		08/05/03	Lau et al.	
		6,612,978		09/02/03	Lau et al.	
		6,612,979		09/02/03	Lau et al.	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>		
				Application Number	10/693,577	
Sheet		7	of	12	Filing Date	October 23, 2003
					First Named Inventor	Lilip Lau
					Art Unit	3736
					Examiner Name	Unassigned
					Attorney Docket Number	PARCR 65971

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		6,645,139		11/11/03	Haindl	
		6,663,558		12/16/03	Lau et al.	
		6,673,009		01/06/04	Vanden Hoek et al.	
		6,682,474		01/27/04	Lau et al.	
		6,682,475		01/27/04	Cox et al.	
		6,682,476		01/27/04	Alferness et al.	
		6,685,620		02/03/04	Gifford, III et al.	
		6,685,627		02/03/04	Jayaraman	
		6,689,048		02/10/04	Vanden Hoek et al.	
		6,695,769		02/24/04	French et al.	
		6,701,929		03/09/04	Hussein	
		6,702,732		03/09/04	Lau et al.	
		6,723,041		04/20/04	Lau et al.	
		6,755,779		06/29/04	Vanden Hoek et al.	
		2001/00293134		10/11/01	Alferness et al.	
		2001/0047122		11/29/01	Vanden Hoek et al.	
		2002/0007216		01/17/02	Melvin	
		2002/0022880		02/21/02	Melvin	
		2002/0068849		06/06/02	Schweich, Jr. et al.	
		2002/007754		06/20/02	Schweich, Jr. et al.	
		2002/0082647		06/27/02	Alferness et al.	
		2002/0091296		07/11/02	Alferness	
		2002/0103511		08/01/02	Alferness et al.	
		2002/0151950		10/17/02	Okuzumi	
		2003/0060674		03/27/03	Gifford, III et al.	
		2003/0060677		03/27/03	French et al.	
		2003/0060895		03/27/03	French et al.	
		2003/0199733		10/23/03	Shapland et al.	
		2003/0199955		10/23/03	Struble et al.	
		2003/0229265		12/11/03	Girard et al.	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449B/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	10/693,577
				Filing Date	October 23, 2003
				First Named Inventor	Lilip Lau
				Group Art Unit	3736
				Examiner Name	Unassigned
				Attorney Docket Number	PARCR 65971
Sheet	8	of	12		

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Bencini, Adriano, M.D., <i>The "Pneumomassage" of the Heart</i> , <u>Surgery</u> , Vol. 39, No. 3, March 1956	
		Anstadt, George L., et al., <i>A New Instrument for Prolonged Mechanical Cardiac Massage</i> , <u>Abstracts of the 38<sup>th</sup> Scientific Sessions</u> , Supplement II to <u>Circulation</u> , Vols. 31 and 32, pp. 375-384, October 1965	
		Lev, Maurice, M.D., et al., <i>Single (Primitive) Ventricle</i> , <u>Circulation</u> , Vol. 39, pp. 577-591	
		Paling, D.F., <i>Warp Knitting Technology</i> , 1970	
		Edie, Richard N., M.D., et al., <i>Surgical Repair of Single Ventricle</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 66, No. 3, pp. 350-360, September 1972	
		McGoon, Dwight C., M.D., et al., <i>Correction of the Univentricular Heart Having Two Atrioventricular Valves</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 74, No. 2, pp. 218-226, August 1977	
		Doty, Donald B., et al., <i>Septation of the Univentricular Heart: Transatrial Approach</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 78, No. 3, pp. 424-430, September 1979	
		Schetky, L. McDonald, <i>Shap- Memory Alloys</i> , <u>Scientific American</u> , Vol. 241, No. 5, pp. 74-82, November 1979	
		Melton, K.N., et al., <i>Alloys With Two-Shape Memory Effect</i> , <u>Mechanical Engineering</u> , pp. 42-43, March 1980	
		Feldt, Robert H., M.D., et al., <i>Current Status of the Septation Procedure for Univentricular Heart</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 82, No. 1, pp. 93-97, July 1981	

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/693,577
				Filing Date	October 23, 2003
				First Named Inventor	Lilip Lau
				Group Art Unit	3736
				Examiner Name	Unassigned
				Attorney Docket Number	PARCR 65971
Sheet	9	of	12		

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Carpentier, A., et al., <i>Myocardial Substitution With Stimulated Skeletal Muscle: First Successful Clinical Case</i> , <u>The Lancet</u> , June 1, 1985	
		Anstadt, George L. et al., <i>Direct Mechanical Ventricular Actuation: A Review</i> , <u>Resuscitation</u> , pp. 7-23, 1991	
		Anstadt, Mark P., M.D., et al., <i>Pulsatile Reperfusion After Cardiac Arrest Improves Neurologic Outcome</i> , <u>American Surgery</u> , Vol. 214, No. 4, pp. 478-490, October 1991	
		Schumacker, Harris B., Jr., <i>Chapter 21: Cardiac Aneurysms</i> , <u>The Evolution of Cardiac Surgery</u> , pp. 159-165, 1992	
		Savage, Edward B., M.D., et al., <i>Repair of Left Ventricular Aneurysm</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 104, No. 3, pp. 752-762, September 1992	
		Chekanov, Valeri, M.D., Ph.D., <i>Nonstimulated Cardiomyoplasty Wrap Attenuated the Degree of Left Ventricular Enlargement</i> , <u>Annals of Thoracic Surgeons</u> , Vol. 57, pp. 1684-1690, 1997	
		Chaudhry, Pervaiz A., M.D., et al., <i>Acute Ventricular Reduction with Acorn's Cardiac Support Device Prevents Progressive Left Ventricular Dysfunction and Remodeling in Dogs With Advanced Heart Failure</i> , <u>Cardiothoracic Surgery</u> , pp. 146-148, 1996	
		Westaby, Stephen, et al., <u>Landmarks in Cardiac Surgery</u> , pp. 198-199, 1997	
		Cox, James L., <i>Left Ventricular Aneurysms: Pathophysiologic Observations and Standard Resection</i> , <u>Seminars in Thoracic and Cardiovascular Surgery</u> , Vol. 9, No. 2, pp. 113-122, April 1997	
		Coletta, C., et al., <i>Prognostic Value of Left Ventricular Volume Response During Dobutamine Stress Echocardiography</i> , <u>European Heart Journal</u> , vol. 18, pp. 1599-1603, October 1997	

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>		
				Application Number	10/693,577	
Sheet		10	of	12	Filing Date	October 23, 2003
					First Named Inventor	Lilip Lau
					Group Art Unit	3736
					Examiner Name	Unassigned
					Attorney Docket Number	PARCR 65971

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Capomolla, Soccorso, M.D., et al., <i>Dobutamine and Nitroprusside Infusion in Patients With Severe Congestive Heart Failure: Hemodynamic Improvement by Discordant Effects on Mitral Regurgitation, Left Atrial Function, and Ventricular Function</i> , <i>American Heart Journal</i> , 1089-1098, December 1997	
		Cohn, Jay N., M.D., <i>Preventing Congestive Heart Failure</i> , <i>American Family Physician</i> , 6 pages, april 15, 1998	
		Cohn, Jay N., M.D., <i>Structural Basis for Heart Failure: Ventricular Remodeling and Its Pharmacological Inhibition</i> , <i>Circulation</i> , Vol. 91, No. 10, pp. 2504-2507, May 15, 1995	
		Gaudron, Peter, M.D., et al., <i>Progressive Left Ventricular Dysfunction and Remodeling After Myocardial Infarction</i> , <i>Circulation</i> , vol. 87, pp. 755-763, March 1993	
		Pfeiffer, Marc A., M.D., et al., <i>Ventricular Remodeling After Myocardial Infarction: Experimental Observations and Clinical Implications</i> , <i>Circulation</i> , Vol. 81, No. 4, pp. 1161-1172, April 1990	
		Guasp, Francisco Torrent, <i>Una protesis contentiva para el tratamiento de le microcardiopatía dilatada</i> , <i>Revista Española de Cardiología</i> , Vol. 51, No. 7, July 1998	
		Melvin, David B., <i>Ventricular Radium Reduction Without Resection: A Computational Analysis</i> , <i>ASAIO Journal</i> , pp. 160-165, 1999	
		<u>ABSTRACTS – Heart Failure</u> , JACC February 1999	
		McCarthy, Patrick M., et al., <i>Device Based Left Ventricular Shape Change Immediately Reduces Left Ventricular Volume and Increases Ejection Fraction in a Pacing Induced Cardiomyopathy Model in Dogs</i> , JACC, Feb. 2000	
		Acorn Cardiovascular, Inc., <u>CSD Specifications Acorn Cardiac Support Device</u> , 2000	

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449B/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	10/693,577
				Filing Date	October 23, 2003
				First Named Inventor	Lilip Lau
				Group Art Unit	3736
				Examiner Name	Unassigned
				Attorney Docket Number	PARCR 65971
Sheet	11	of	12		

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No <sup>1</sup> .	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Heart "jacket" could help stop heart failure progression. <u>Clinicia</u> , No. 916, July 2000	
		Acom Cardiovascular, Inc., <u>CorCap™ Cardiac Support Device Pamphlet</u> , June 2001	
		<u>Medtronic's InSync Cardiac Resynchronization Therapy Device Approved by FDA</u> , (Press Release) August 28, 2001	
		Acom Cardiovascular, Inc., <u>Acorn Highlights: ESC</u> , Schedule, September 2001	
		Oz, Mehmet C., M.D., <u>Passive Ventricular Constraint for the Treatment of Congestive Heart Failure</u> , <u>Annals of Thoracic Surgery</u> , Vol. 71, pp. 5185-5187, 2001	
		Abstract Supplement, <u>European Heart Journal</u> , Vol. 22, September 2001	
		Gorman, J., <u>Self-Sutures: New Material Knots Up On Its Own</u> , <u>Science News</u> , Vol. 161, p. 262, April 27, 2002	
		Teckell-Taylor, Leah A., et al., <u>Passive Ventricular Restraint With Nitinol Mesh Attenuates Remodeling Following Acute Myocardial Infarction</u> , Abstract, American College of Cardiology (Undated)	
		Mann, Douglas L., M.D., <u>Basic Mechanisms of Remodeling and Reverse Remodeling</u> , presented at 6 <sup>th</sup> Annual Scientific Meeting of the Heart Failure Society of America, September 24, 2002	
		Bocchi, Edimar a., M.D., <u>Arrhythmias and Sudden Death After Dynamic Cardiomyoplasty</u> , <u>Circulation</u> , Vol. 90, No. 5, Part 2, pp. II-107 thru II-111, November 1994	

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/693,577
		Filing Date	October 23, 2003
		First Named Inventor	Lilip Lau
		Group Art Unit	3736
		Examiner Name	Unassigned
		Attorney Docket Number	PARCR 65971
Sheet	12	of	12

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Chachques, Juan C., M.D., <i>Study of Muscular and Ventricular Function in Dynamic Cardiomyoplasty: A Ten-Year Follow-Up</i> , <u>The Journal of Heart and Lung Transplantation</u> , Vol. 16, No. 8, pp. 854-868, August 1997	
		Dullum, Mercedes K.C., M.D., et al., <i>Less Invasive Surgical Management of Heart Failure by Cardiac Support Device Implantation on the Beating Heart</i> , <u>The Heart Surgery Forum</u> , #2001-1818, pp. 361-363, January 4-7, 2001	
		Macris, Michael P. M.D., et al., <i>Minimally Invasive Access of the Normal Preicardium: Initial Clinical Experience with a Novel Device</i> , <u>Clinical Cardiology</u> , Vol. 22 (Suppl. I), pp. I-36 thru I-39, 1999	
		Thakur, Ranjan K., M.D., et al., <i>Latissimus Dorsi Dynamic Cardiomyoplasty: Role of Combined ICD Implantation</i> , <u>Journal of Cardiac Surgery</u> , Vol. 10, pp. 295-297, 1995	
		Application for U.S. Letters Patent Serial No. 10/693,577 filed October 23, 2003	
		Application for U.S. Letters Patent Serial No. 10/314,696 filed December 9, 2002	
		Provisional Patent Application Serial No. 60/486,062 filed July 10, 2003	
		Application for U.S. Letters Patent Serial No. 10/698,237 filed October 31, 2003	
		Application for U.S. Letters Patent Serial No. 10/704,376 filed November 7, 2003	
		Application for U.S. Letters Patent Serial No. 10/715,150 filed November 17, 2003	
		Provisional Patent Application Serial No. 60/535,888 filed January 12, 2004	

60396.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.